

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2010-09-17
2. **Agency:** 005
3. **Bureau:** 05
4. **Name of this Investment:** USDA Identity & Access Management
5. **Unique Project (Investment) Identifier (UPI):** 005-05-03-00-01-8004-00
6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2010

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The USDA Identity and Access Management (IAM) investment provides enterprise identity authentication and authorization services. Identity assurance is required for successful operation of public-facing grant and other programs. Other identified agency needs include use of smart cards for laptop/PC login, access to web applications, and physical access to controlled facilities. The IAM investment meets these identified needs with several projects comprising an enterprise Identity and Access Management approach. The investment components accept source identity information (with appropriate verification), store it, process it, and deliver needed elements upon demand to USDA systems as they carry out PMA E-Government work. This combined investment umbrella includes several steady-state projects and components including eAuthentication, Identity Management, Background Investigation Management, Credentialing, and Physical Access Control Systems. eAuthentication provides access protection and login authentication and user authorization for USDA websites. USDA's eAuthentication service collaborates as one of four GSA-approved, government-wide credential service providers. Identity Management provides the real-time interface system between stored identity data and agency systems requiring identity verification for authentication and permissions. Background Investigation (BI) manages required investigations for employees. Credential Management (CM) project implemented the President's HSPD-12 identity card requirement and maintains, replaces and issues cards to new employees and contractors. The Enterprise Physical Access Control System (ePACS) uses identity information to allow or deny physical access to build and computer room facility doors. Enterprise Identity Management System (EIMS) is a foundational system for using identity cards to control access to individual laptop/desktop computers, terminals, web applications, and other applications. In FY11 and beyond, these systems will be integrated with a new but separate initiative Enterprise Entitlement Management Service as part of the overarching Federal Identity, Credential, and Access Management (ICAM) initiatives aimed at providing a common framework enabling the Federal government to interact with external organizations and individuals. (Visit www.idmanagement.gov for more information.).

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**

2010-09-17

- b. **Provide the date of the most recent or planned approved project charter.** 2010-02-02

10. **Contact information?**

- a. **Program/Project Manager Name:** *

Phone Number: *

Email: *

- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Janet Guyer

Phone Number: *

Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager assigned but qualification status review has not yet started.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 2

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	1205	AG3142D100124	GS06F0219Z		*	*	\$2.9	Time and Materials	N	2009-12-16	2011-01-31	Y	Identity Management Support Services
Awarded	1205	AG3143D110015	AG3142C090004	AG-3143-S-11-0011	*	*	\$2.9	Firm Fixed Price	Y	2010-11-19	2011-04-22	Y	HSPD-12, ePACS Program Support
Awarded	1205	AG3143D110016	AG3142C090004	AG-3143-S-11-0014	*	*	\$1.0	Firm Fixed Price	Y	2010-11-22	2011-03-04	Y	FY11 Continued NEIS Program Support

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- Was the Acquisition Plan approved in accordance with agency requirements *
- If "yes," enter the date of approval? *

e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *

f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *

g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. Data resides within NITC infrastructure and is subject to ongoing efforts to centralize under NITC cloud infrastructure plans including server virtualization
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-03-09
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 005-05-03-00-02-3101-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
005-05-03-00-02-3101-00,005-05-02-00-02-8005-00,005-03-01-01-01-2000-00,005-05-01-01-01-1227-00,005-05-01-81-01-9855-00,005-05-02-00-01-8004-00
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2011-01-11
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-12-02

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY09 O&M Work	SS	*	\$17.6	\$17.6	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Q1 FY10 O&M Work	SS	*	\$4.3	\$4.3	2009-10-01	2009-10-01	2009-12-30	2009-12-30	100.00%	100.00%
Q2 FY10 O&M Work	SS	*	\$4.3	\$4.3	2010-01-01	2010-01-01	2010-03-30	2010-03-30	100.00%	100.00%
Q3 FY10 O&M Work	SS	*	\$4.3	\$4.3	2010-04-01	2010-04-01	2010-06-30	2010-06-30	100.00%	100.00%
Q4 FY10 O&M Work	SS	*	\$4.3	\$4.3	2010-07-01	2010-07-01	2010-09-30	2010-09-16	100.00%	100.00%
M1 FY11 O&M Work	SS	*	\$1.5	\$1.5	2010-10-01	2010-10-01	2010-10-30	2010-10-25	100.00%	100.00%
M5 FY11 O&M Work	SS	*	\$1.5	\$1.4	2011-02-01	2011-02-01	2011-02-28	2011-02-28	100.00%	100.00%
M6 FY11 O&M Work	SS	*	\$1.5	\$1.4	2011-03-01	2011-03-01	2011-03-30	2011-03-30	100.00%	100.00%
M7 FY11 O&M Work	SS	*	\$1.5	\$1.4	2011-04-01	2011-04-01	2011-04-30	2011-04-30	100.00%	100.00%
M8 FY11 O&M Work	SS	*	\$1.5	\$1.4	2011-05-01	2011-05-01	2011-05-30	2011-05-30	100.00%	100.00%
M9 FY11 O&M Work	SS	*	\$1.5	\$1.5	2011-06-01	2011-06-01	2011-06-30	2011-06-30	100.00%	100.00%
M10 FY11 O&M Work	SS	*	\$1.5	\$0.4	2011-07-01	2011-07-01	2011-07-30		25.00%	25.00%
M11 FY11 O&M Work	SS	*	\$1.5		2011-08-01		2011-08-30		0.00%	0.00%
M12 FY11 O&M Work	SS	*	\$1.5		2011-09-01		2011-09-30		0.00%	0.00%
FY12 O&M Work	SS	*	\$17.3	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
M2 FY11 O&M Work	SS	*	\$1.5	\$1.5	2010-11-01	2010-11-01	2010-11-30	2010-11-30	100.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
M3 FY11 O&M Work	SS	*	\$1.5	\$1.4	2010-12-01	2010-12-01	2010-12-30	2010-12-29	100.00%	100.00%
M4 FY11 O&M Work	SS	*	\$1.5	\$1.4	2011-01-01	2011-01-01	2011-01-30	2011-01-28	100.00%	100.00%
FY08 DME Work	DME	*	\$2.7	\$2.7	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY08 O&M Work	SS	*	\$15.1	\$15.1	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY13 O&M Work	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY14 O&M Work	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
FY15 O&M Work	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
FY16 O&M Work	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*
FY17 O&M Work	SS	*	*	*	2016-10-01	*	2017-09-30	*	*	*
FY18 O&M Work	SS	*	*	*	2017-10-01	*	2018-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. Investment is within 10% of baseline

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2011-01-10

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Processes and Activities	Compliance	e-Auth: Compliance to cyber security regulations, C&A and A-123	annual	Compliance	Compliance	ATO or IOTA Certificate	2010-09-07
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	unexpired ATO or IOTA	Current ATO expires 9/25/11, ST&E started Apr-11, due by Jun-11	Met	2011-05-26
			2012	unexpired ATO or IOTA		Not Due	2010-09-16
Technology	Accessibility	e-Auth: Data synchronization daily to all available customer (agency) endpoints to provide interoperability of PIV (LincPass) credentials, personal authentication, access control, and card management.	monthly	Percent	Increase	99% daily syncs completed	2010-09-07
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	99.9% of daily syncs completed	100%	Met	2010-12-30
			2012	99.9% of daily syncs completed		Not Due	2011-02-25
Mission and Business Results	Information Security	e-Auth: Level 3 assurance e-Auth credential as	annual	Milestone	Milestone	Milestone	2010-09-07

		enhancement to security posture					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Complete end FY11		Not Due	2010-09-16
Processes and Activities	Productivity	e-Auth: Move IAM server infrastructure to NITC by end of FY11 for cost containment through efficiency	annual	Milestone	Milestone	Milestone	2010-09-07
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	Installation by end FY11		Not Due	2010-09-16
Customer Results	Response Time						

* - Indicates data is redacted.